

Reporting Concise Notes

Presented by: Mitch Hembree

Topics

1 Introduction to concise note reports.

- Describe the purpose of a concise note report.
- Introduce the DOE/NRC Form 740M: Concise Note Report.

2 Process for completing concise note reports.

- Describe the different types of codes used on a concise note report.
- Explain the process for preparing and submitting a concise note report.

3 Demonstration of concise note reports.

- Demonstrate examples of preparing concise note reports.



Introduction to concise note reports.

Topic

1

Concise Note DOE/NRC Form 740M

- A concise note is reported to NMMSS when a facility desires to provide additional explanatory information.
- DOE/NRC Form 740M is used to submit this information to NMMSS.
- A concise note may be attached to the following NMMSS reports:
 - Nuclear material transaction reports (DOE/NRC Form 741)
 - Material balance reports (DOE/NRC Form 742)
 - Physical inventory listing (DOE/NRC Form 742C)
- Facilities may also submit standalone concise notes to NMMSS. This type of concise note will be attached to a one-party nuclear material transaction report (DOE/NRC Form 741) but will not be associated with transaction detail information.

When should a concise note be reported to NMMSS?

- Facilities selected under the U.S. IAEA Safeguards Agreement or Protocol are required to submit Concise Notes to accompany submission of transaction, material balance and physical inventory data, as appropriate, for conveying explanatory information to the IAEA.
- Facilities engaged in the import and/or export of nuclear materials that for any reason cannot use the same batch name as the shipper or if the shipper fails to supply a batch name, the importer should supply their own batch names and attach a concise note to that effect.

When should a concise note be reported to NMMSS? (continued)

- If the shipper fails to supply its IAEA facility code or the IAEA MT code, a Concise Note should be prepared stating that the data was not supplied.
- Facility attachments or transitional facility attachments for selected facilities may specify circumstances under which concise notes are required to be submitted to the IAEA accompanying other reports.
 - Such concise notes are used to convey to the foreign state the required data items associated with reported accounting data.

DOE/NRC Form 740M: Concise Note Report

Header

1

Detail

2

Signature and Date Block

3

[illegible]



Process for completing concise note reports.

Topic

2

Codes that associate concise note with a NMMSS Form

When reporting a concise note report, the concise note must be associated with another NMMSS form. The following codes provide this determination.

2. Attachment To:				3. RIS	
<input type="checkbox"/> A. DOE/NRC 741	<input type="checkbox"/> B. DOE/NRC 742	<input type="checkbox"/> C. DOE/NRC 742C			
5. Transaction Data					
A. Shipper's RIS	B. Receiver's RIS	C. Transaction Num.	D. Correction Num.	E. PC	F. AC

ATTACHMENT TO

- Place an X in the appropriate box to indicate that this explanatory information will be attached to DOE/NRC Form 741.
- When attaching the Concise Note to DOE/NRC Form 742 or 742C, enter the number 1 for the first Concise Note attached to the particular DOE/NRC Form 742 or 742C.
- When issuing an additional Concise Note for a particular DOE/NRC Form 742 or 742C, enter the next sequential number (2–9) of the Concise Note.

Codes that associate concise note with a NMMSS Form (continued)

When reporting a concise note report, the concise note must be associated with another NMMSS form. The following codes provide this determination.


2. Attachment To:				3. RIS	
<input type="checkbox"/> A. DOE/NRC 741	<input type="checkbox"/> B. DOE/NRC 742	<input type="checkbox"/> C. DOE/NRC 742C			
5. Transaction Data					
A. Shipper's RIS	B. Receiver's RIS	C. Transaction Num.	D. Correction Num.	E. PC	F. AC

Shipper's RIS, Receiver's RIS, Transaction Number, Correction Number, Process Code, and Action Code

- Populate these 6 codes if the concise note is associated with a DOE/NRC Form 741.
- All entries in this block must be identical to those on DOE/NRC Form 741.

Concise Note Codes

- RIS
- Reporting Period
- Reporting Date
- Line Number
- Entry Reference
- Text of Concise

DOE/NRC FORM 740M (04-2018)		U. S. DEPARTMENT OF ENERGY AND U. S. NUCLEAR REGULATORY COMMISSION		APPROVED BY OMB: NO. 3150-0057		EXPIRES: 04/30/2021	
MANDATORY DATA COLLECTION AUTHORIZED BY 10 CFR 30, 40, 50, 70, 72, 74, 75, 150 Public Laws 83-703, 93-438, 95-91				Estimated burden per response to comply with this mandatory collection request: 45 minutes. This information is required to satisfy the provisions of the US/IAEA Safeguards Agreement. Send comments regarding burden estimate to the Information Services Branch (T-2 F43), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by e-mail to InfoCollects.Resource@nrc.gov , and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0057), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.		CONCISE NOTE	
1. Name		2. Attachment To:		3. RIS		4. Reporting Period (MM/DD/YYYY)	
Street Address		<input type="checkbox"/> A. DOE/NRC 741 <input type="checkbox"/> B. DOE/NRC 742 <input type="checkbox"/> C. DOE/NRC 742C				From Date To Date	
City		State		Zip Code		5. Transaction Data	
		A. Shipper's RIS		B. Receiver's RIS		C. Transaction Num.	
						D. Correction Num.	
						E. PC	
						F. AC	
6. Reporting Date							
7A. Line No.		7B. Entry Reference		7C. Text of Concise Note			

Entry reference code reporting requirements

ENTRY REFERENCE

- If the explanatory information entered on this line of the DOE/NRC Form 740M applies to the entire DOE/NRC Form 741, 742, or 742C, enter WHOLE REPORT.
- If the explanation applies to the data on a specific batch on a DOE/NRC Form 741 or DOE/NRC Form 742C, copy the batch name exactly as it appears on the DOE/NRC Form 741 or DOE/NRC Form 742C.
- If the explanation applies to a specific material balance category on a DOE/NRC Form 742, enter the two-digit number of the material balance category.
- If the explanation applies to material balance categories 11, 30, 42, 43, or 51, enter the RIS shown on the relevant line of DOE/NRC Form 742.
- If the explanation applies to categories 22 or 71, enter the two-character ICT as shown on the relevant line of DOE/NRC Form 742.
- If the DOE/NRC Form 740M action code is M, enter GENERAL.

7B. Entry Reference

Text of concise note code reporting requirements

TEXT OF CONCISE NOTE

- Enter up to 60 letters, numbers, or special characters per line.
- Up to 99 lines of text may be used for any one explanation.

7C. Text of Concise Note



Demonstration of concise note reports.

Topic

3

Case Study

1

NRC facility (XDD) made its shipment #1 to a Canadian facility (RDAD) on **May 30, 2020**. The shipment has non-government-owned material being transferred to RDAD. There is one container (Batch 1) of material being shipped which contains 2 types of reportable nuclear material (i.e., 2 lines of detail on the DOE/NRC Form 741). Note that XDD also wants to associate a concise note with this shipment. Below is the shipper's DOE/NRC Form 741.

Concise Note

DOE/NRC FORM 741 <small>(04-2018) Previous editions are obsolete MANDATORY DATA COLLECTION AUTHORIZED BY 10 CFR 30, 40, 50, 70, 72, 74, 75, 150, Public Laws 83-703, 93-438, 95-91</small>				U.S. DEPARTMENT OF ENERGY AND U.S. NUCLEAR REGULATORY COMMISSION				APPROVED BY OMB: NO. 3150-0003 <small>Estimated burden per response to comply with this mandatory collection request: 1 hour and 15 minutes. This information is required for IAEA accounting reports that show changes in inventory of nuclear material. Send comments regarding burden estimate to the Information Services Branch (T-2 F43), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by e-mail to infocollects@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NE08-10202, (3150-0003), Office of Management and Budget, Washington, D.C. 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.</small>									
<h2 style="margin: 0;">NUCLEAR MATERIAL TRANSACTION REPORT</h2>																	
1. SHIPPER'S RIS		2. RECEIVER'S RIS		3. TRANSACTION NO.		4. CORRECTION NO.		5. PROCESSING CODE		6. ACTION CODE		7. DOCUMENTATION (Only if document is classified SECRET)					
XDD		RDAAD		1								PAGE OF PAGES COPY OF COPIES SERIES					
8.a. NAME AND ADDRESS OF SHIPPER		b. LICENSE NO.		9.a. NAME AND ADDRESS OF RECEIVER		b. LICENSE NO.		10. NO. OF DATA LINES		11. NATURE OF TRANSACTION		NO.		DISTRIBUTION OF COPIES			
c. ATTENTION: d. TELEPHONE:		c. ATTENTION: d. TELEPHONE:		12.a. SHIPPED FOR ACCOUNT OF		b. RIS		13.a. SHIPPED TO ACCOUNT OF		b. RIS		1					
												2					
												3					
												4					
												5					
14. TRANSFER AUTHORITY - CONTRACT, NM DRAFT, OR ORDER NUMBER		15. EXPORT OR IMPORT TRANSFERS: LICENSE NO.		17. LINE NUMBER		18. COUNTRY OF OBLIGATION		19. MATERIAL TYPE		20. OBLIGATED ISOTOPE WEIGHT <small>For Enriched Uranium Only</small>		21. OBLIGATED ISOTOPE WEIGHT <small>For Enriched Uranium Only</small>		6			
														7			
														8			
16. MATERIAL TYPE AND DESCRIPTION		22. ACTION DATE		MONTH (MM)		DAY (DD)		YEAR (YYYY)		a. SHIPMENT		9					
												b. SHIPPER'S CORRECTION					
												c. RECEIPT					
												d. RECEIVER'S MEASUREMENT					
												e. RECEIVER'S CORRECTION					
23a. MISCELLANEOUS		b. CONCISE NOTE ATTACHED <input checked="" type="checkbox"/>		c. UK REPORTABLE? <input type="checkbox"/> YES <input type="checkbox"/> NO		24. TOTAL GROSS WEIGHT		20		25. TOTAL VOLUME (<i>Waste Transfers Only</i>)		a					
												b					
												c					
												d					
												e					

ITEMS DATA	BACK REFERENCE NUMBER	LINE NO.	TYPE OF INV. CHANGE	IDENTIFICATION (ITEM/BATCH NAME)	NO. OF ITEMS	PROJECT NUMBER	MATERIAL TYPE	COMP/FACILITY CODE	OWNER CODE	KEY MEAS. POINT	MEAS. IDENT. k.			GROSS WEIGHT	ELEMENTAL WEIGHT			WEIGHT % ISOTOPE	ISOTOPE WEIGHT	ISOTOPE LIMIT OF ERROR
	a.	b.	c.	d.	e.	f.	g.	h.	i.	j.	1 BASIS	2 COMP	3 METHOD	l.	m.	n.	o.	p.	q.	r.
		1		BATCH 1	1		EG	291	J							2066		1.4421	30	
		2		BATCH 1	1		P	291	J							21		39.0086	11	

NOTE: The foreign receipt is not reported to NMMSS by either the U.S. facility or the foreign facility.

Case Study

1

Since XDD indicated the intent to include a concise note with this shipment, **enter the shipper's DOE/NRC Form 740M (concise note)**. Note that this concise note is applicable to the whole report (i.e., all lines of the associated DOE/NRC Form 741).

Concise Note

Concise Note:

Line 1:	The submission is safeguards
Line 2:	information and should be handled
Line 3:	in accordance with 10 CFR 73.21,
Line 4:	Protection of Safeguards Information
Line 5:	Performance Requirements

Case Study

1

Enter the shipper's DOE/NRC Form 740M (concise note).

Concise Note

DOE/NRC FORM 740M (04-2018) MANDATORY DATA COLLECTION AUTHORIZED BY 10 CFR 30, 40, 50, 70, 72, 74, 75, 150, Public Laws 83-703, 93-438, 95-91			U.S. DEPARTMENT OF ENERGY AND U.S. NUCLEAR REGULATORY COMMISSION			APPROVED BY OMB: NO. 3150-0057 Estimated burden per response to comply with this mandatory collection request: 45 minutes. This information is required to satisfy the provisions of the USIAEA Safeguards Agreement. Send comments regarding burden estimate to the Information Services Branch (T-2 F43), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by e-mail to infocollects@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0057), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.			EXPIRES: 04/30/2021	
1. NAME			2. ATTACHMENT TO: <input checked="" type="checkbox"/> A. DOE/NRC 741 <input type="checkbox"/> B. DOE/NRC 742 <input type="checkbox"/> C. DOE/NRC 742C			3. RIS XDD			4. REPORTING PERIOD FROM TO	
STREET ADDRESS			5. TRANSACTION DATA						6. REPORTING DATE	
CITY STATE ZIP CODE			A SHIPPER'S RIS XDD	B RECEIVER'S RIS RDAD	C TRANSACTION NUMBER 1	D CORR. NUMBER	E PC A	F AC A	05/30/2020	
7A. LINE NO.	7B. ENTRY REFERENCE	7C. TEXT OF CONCISE NOTE								
1	WHOLE	THE SUBMISSION IS SAFEGUARDS								
2	REPORT	INFORMATION AND SHOULD BE HANDLED								
3		IN ACCORDANCE WITH 10 CFR 73.21,								
4		PROTECTION OF SAFEGUARDS INFORMATION:								
5		PERFORMANCE REQUIREMENT								

Attachment to

Shipper's RIS, Receiver's RIS,
Transaction Number, Correction
Number, Process Code, Action Code

RIS

Line Number, Entry Reference,
Text of Concise Note

Reporting Date

Case Study

2

NRC facility (YYY) wishes to issue a one-party transaction report (transaction number 796) for the sole purpose of reporting a concise note as of January 5, 2020. Below is the NRC facility's one-party DOE/NRC Form 741.

Concise Note

DOE/NRC FORM 741 (04-2018) Previous editions are obsolete MANDATORY DATA COLLECTION AUTHORIZED BY 10 CFR 30, 40, 50, 70, 72, 74, 75, 150, Public Laws 83-703, 93-438, 95-91				U.S. DEPARTMENT OF ENERGY AND U.S. NUCLEAR REGULATORY COMMISSION				APPROVED BY OMB: NO. 3150-0003 Estimated burden per response to comply with this mandatory collection request: 1 hour and 15 minutes. This information is required for IAEA accounting reports that show changes in inventory of nuclear materials. Send comments regarding burden estimate to the Information Services Branch (T-2 F43), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by e-mail to infocollects@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0003), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.				EXPIRES: 04/30/2021																							
NUCLEAR MATERIAL TRANSACTION REPORT																																			
1. SHIPPER'S RIS		2. RECEIVER'S RIS		3. TRANSACTION NO.		4. CORRECTION NO.		5. PROCESSING CODE		6. ACTION CODE		7. DOCUMENTATION (Only if document is classified SECRET)																							
YYY		YYY		796				a. SHIPPER A		b. RECEIVER		a. SHIPPER M		b. RECEIVER		PAGE OF PAGES		COPY OF COPIES		SERIES															
8.a. NAME AND ADDRESS OF SHIPPER		b. LICENSE NO.		9.a. NAME AND ADDRESS OF RECEIVER		b. LICENSE NO.		10. NO OF DATA LINES 0		11. NATURE OF TRANSACTION		12. SHIPPED FOR ACCOUNT OF		13.a. SHIPPED TO ACCOUNT OF		b. RIS		NO. DISTRIBUTION OF COPIES																	
c. ATTENTION: d. TELEPHONE:				c. ATTENTION: d. TELEPHONE:														1																	
																		2																	
																		3																	
																		4																	
																		5																	
6																																			
7																																			
8																																			
9																																			
14. TRANSFER AUTHORITY - CONTRACT, NM DRAFT, OR ORDER NUMBER										15. EXPORT OR IMPORT TRANSFERS: LICENSE NO. XMAS2020																									
16. MATERIAL TYPE AND DESCRIPTION										17. LINE NUMBER		18. COUNTRY OF OBLIGATION		19. MATERIAL TYPE		20. OBLIGATED ELEMENT WEIGHT		21. OBLIGATED ISOTOPE WEIGHT For Enriched Uranium Only		22. ACTION DATE		MONTH (MM)		DAY (DD)		YEAR (YYYY)									
23a. MISCELLANEOUS																				a. SHIPMENT		01		05		2020									
																				b. SHIPPER'S CORRECTION															
																				c. RECEIPT															
																				d. RECEIVER'S MEASUREMENT															
																				e. RECEIVER'S CORRECTION															
24. TOTAL GROSS WEIGHT										25. TOTAL VOLUME (Waste Transfers Only)																									
BACK REFERENCE NUMBER		LINE NO.		TYPE OF INV. CHANGE		IDENTIFICATION (ITEM/BATCH NAME)		NO. OF ITEMS		PROJECT NUMBER		MATERIAL TYPE		COMP/FACILITY CODE		OWNER CODE		KEY MEAS. POINT		MEAS. IDENT. k.		GROSS WEIGHT		NET WEIGHT		ELEMENT WEIGHT		ELEMENT LIMIT OF ERROR		WEIGHT % ISOTOPE		ISOTOPE WEIGHT		ISOTOPE LIMIT OF ERROR	
a.		b.		c.		d.		e.		f.		g.		h.		i.		j.		1 BASIS 2 OMP 3 METHOD		l.		m.		n.		o.		p.		q.		r.	

Case Study

2

Since YYY indicated the intent to include a concise note with this shipment, **enter the shipper's DOE/NRC Form 740M (concise note)**. Note that this concise note is applicable as a General concise note for the facility (i.e., not specific to a DOE/NRC Form 741 detail line).

Concise Note

Concise Note:

Line 1: Annual physical inventory to begin on March 10, 2020.

Case Study

2

Enter the shipper’s DOE/NRC Form 740M (concise note).

Concise Note

DOE/NRC FORM 740M (04-2018) MANDATORY DATA COLLECTION AUTHORIZED BY 10 CFR 30, 40, 50, 70, 72, 74, 75, 150, Public Laws 83-703, 93-438, 95-91			U.S. DEPARTMENT OF ENERGY AND U.S. NUCLEAR REGULATORY COMMISSION			APPROVED BY OMB: NO. 3150-0057 Estimated burden per response to comply with this mandatory collection request: 45 minutes. This information is required to satisfy the provisions of the US/AEA Safeguards Agreement. Send comments regarding burden estimate to the Information Services Branch (T-2 F43), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by e-mail to infocollects@nrc.gov , and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0057), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.			EXPIRES: 04/30/2021		
1. NAME			2. ATTACHMENT TO: <input checked="" type="checkbox"/> A. DOE/NRC 741 <input type="checkbox"/> B. DOE/NRC 742 <input type="checkbox"/> C. DOE/NRC 742C			3. RIS YYY			4. REPORTING PERIOD FROM TO		
STREET ADDRESS			5. TRANSACTION DATA						6. REPORTING DATE 01/05/2020		
CITY STATE ZIP CODE			A SHIPPER'S RIS YYY	B RECEIVER'S RIS YYY	C TRANSACTION NUMBER 796	D CORR. NUMBER	E PC A	F AC M			
7A. LINE NO.	7B. ENTRY REFERENCE	7C. TEXT OF CONCISE NOTE									
1	GENERAL	ANNUAL PHYSICAL INVENTORY TO BEGIN ON MARCH 10, 2020.									

Summary

- 1 Introduction to concise note reports.
- 2 Process for completing concise note reports.
- 3 Demonstration of concise note reports.

Questions

Name	Phone	Email Address
Elaine Beacom	(301) 903-1328	Elaine.Beacom@nnsa.doe.gov
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Contact NMMSS for any assistance with concise notes that you may need.

Email: NMMSS@nnsa.doe.gov